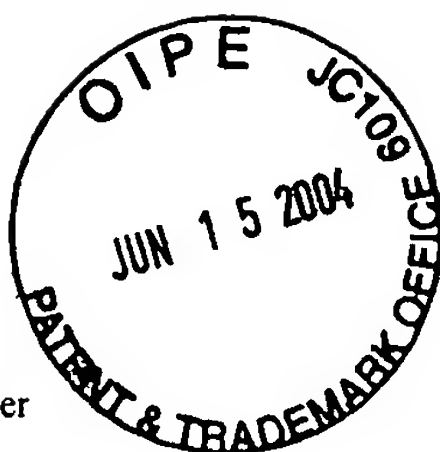


32692

Customer Number



Patent
Case No.: 58961US002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

First Named Inventor: ROSENFLANZ, ANATOLY Z.
Application No.: 10/666098 Group Art Unit: 1755
Filed: September 18, 2003 Examiner: Elizabeth Bolden
Title: CERAMICS COMPRISING AL₂O₃, Y₂O₃, ZRO₂ AND/OR HFO₂, AND
NB₂O₅ AND/OR TA₂O₅ AND METHODS OF MAKING THE SAME

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on:

June 9, 2004
Date

Lisa Hengen
Signed by: Lisa Hengen

Dear Sir:

Pursuant to 37 CFR §§ 1.56, 1.97, and 1.98, enclosed is a completed Form PTO-1449, citing references submitted for consideration by the Examiner. Copies of any cited foreign patents, non-patent literature, and unpublished US application documents are enclosed. Pursuant to the waiver in the Pre-OG Notice, dated July 11, 2003, copies of US patents and published US patent applications are no longer required and are not enclosed. It is respectfully requested that the Examiner initial and return the enclosed Form PTO-1449 to indicate that each reference has been considered.

It is believed that no fee is due; however, in the event a fee is required, please charge the fee to Deposit Account No. 13-3723.

Respectfully submitted,

Date

June 3, 2004

By:

Gregory D. Allen, Reg. No.: 35,048
Telephone No.: (651) 736-0641

Office of Intellectual Property Counsel
3M Innovative Properties Company
Facsimile No.: 651-736-3833

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Use as many sheets as necessary)

Page 1 of 14

Application Number

10/666098

Filing Date

September 18, 2003

First Named Inventor

Rosenflanz, Anatoly Z.

Art Unit

1755

Examiner Name

Elizabeth Bolden

Attorney Case Number

58961US002

U.S. Patent Documents

Exam. Init.*	Cite No.	Document Number	Publication Date or Issue Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Doc. Number-(Kind Code if Known)			
	A1	US- 659,926	10/16/1900	Jacobs	
	A2	US- 906,339	12/08/1908	Tone	
	A3	US- 960,712	06/07/1910	Saunders	
	A4	US- 1,037,999	09/10/1912	Saunders	
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	A6	US- 1,149,064	08/03/1915	Kalmus	
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	A19	US- 1,402,714	01/03/1922	Brockbank	
	A20	US- 1,448,586	03/13/1923	Allen	
	A21	US- 1,910,444	05/23/1933	Nicholson	
	A22	US- 2,000,857	05/07/1935	Masin	
	A23	US- 2,424,645	07/29/1947	Baumann, Jr. et al.	
	A24	US- 2,618,567	11/18/1952	Comstock, III	
	A25	US- 2,958,593	11/01/1960	Hoover et al.	
	A26	US- 2,961,296	11/22/1960	Fenerty	
	A27	US- 3,041,156	06/26/1962	Rowse et al.	
	A28	US- 3,141,747	07/21/1964	Marshall	

*Examiner:

Date Considered:

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Substitute for form 1449A/PTO (modified) INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary) Page 2 of 14	Application Number	10/666098
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	First Named Inventor	Rosenflanz, Anatoly Z.
	Art Unit	1755
	Examiner Name	Elizabeth Bolden
	Attorney Case Number	58961US002

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		Doc. Number-(Kind Code if Known)			
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	A31	US- 3,216,794	11/09/1965	Roschuk	
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	A33	US- 3,498,769	03/03/1970	Coes, Jr.	
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	Art Unit	1755
	Examiner Name	Elizabeth Bolden
	Attorney Case Number	58961US002

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		Doc. Number-(Kind Code if Known)			
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	Art Unit	1755
	Examiner Name	Elizabeth Bolden
	Attorney Case Number	58961US002

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	A114	US- 5,259,147	11/09/1993	Falz et al.	
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	A160	US- 6,054,093	04/04/2000	Zheng	
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	A163	US- 6,451,077	09/17/2002	Rosenflanz	
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	A166	US- 6,469,825	10/22/2002	Digonnet et al.	
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		Doc. Number-(Kind Code if Known)			
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	A181	US- Re 31,128	01/18/1983	Walker et al.	
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	A184	US- 02-0160694-A1	10/31/2002	Wood et al.	
	A185	US- 03-0110706-A1	06/19/2003	Rosenflanz	
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		Ctry. Code	Number-KindCode (If known)				
	B1	AT	333146	10/11/1976			X
	B2	DD	134 638 A	03/14/1979			X
	B3	DE	20 34 011	07/09/1970			X
	B4	EP	0 200 487	11/05/1986			
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	B8	EP	0 469 271	02/05/1992			
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	B13	EP	0 601 453 A2	06/15/1994			X
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	B20	GB	1 260 933 A	01/19/1972			
	B21	JP	200045128A	02/15/2000			X Machine
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	B23	JP	06 040765A	2/15/1994			X Machine
	B24	JP	59 22 7726A	12/21/1984			X Machine

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Substitute for form 1449A/PTO (modified) INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary) Page 9 of 14	Application Number	10/666098
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	First Named Inventor	Rosenflanz, Anatoly Z.
	Art Unit	1755
	Examiner Name	Elizabeth Bolden
	Attorney Case Number	58961US002

Foreign Patent Documents							
Exam. Init.*	Cite No.	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	Translation (Check if yes)
		Ctry. Code	Number-KindCode (If known)				
	B25	JP	2001294480	10/23/2001			X Machine
	B26	Hei	11-189926	07/13/1999			X Machine
	B27	Hei	4-119941	04/21/1992			X
	B28	S	63-156024	06/29/1988			X
	B29	S	63-303821	12/28/1988			X
	B30	WO	94/14722	07/07/1994			
	B31	WO	97/16385	05/09/1997			
	B32	WO	97/25284	07/19/1997			
	B33	WO	00/34201	06/15/2000			X
	B34	WO	01/16047 A2	03/08/2001			
	B35	WO	01/23321 A1	04/05/2001			
	B36	WO	01/23323 A1	04/05/2001			
	B37	WO	01/27046 A1	04/19/2001			
	B38	WO	01/56946 A	08/09/2001			
	B39	WO	01/56947 A	08/09/2001			
	B40	WO	01/56949 A	08/09/2001			
	B41	WO	01/56950 A	08/09/2001			
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	B43	SU	1455569	10/04/1996			X

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	C1	Aguilar, E.A., "Processing and crystallization of rapidly solidified Al ₂ O ₃ -Y ₂ O ₃ fibres", British Ceramic Transactions, 2000, Vol. 99, No. 6, pp. 256-259.
	C2	Brewer, Luke N. et al., "Interface modification for increased fracture toughness in reaction-formed yttrium aluminum garnet/alumina eutectic composites," 1999, Vol. 14, No. 10, pp. 3907-3912.
	C3	Brockway et al. "Rapid Solidification of Ceramics a Technology Assessment", <u>Metals and Ceramics Information Center</u> , MCIC Report, January 1984 MCIC 84-49

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	C4	Chen, Zan-Hwey et al., "Microstructures of laser-treated Al ₂ O ₃ -ZrO ₂ -CeO ₂ composites," <u>Materials Science & Engineering A (Structural Materials: Properties, Microstructure and Processing)</u> , 1995, Vol. A196, No. 1-2, pp. 253-260.
	C5	"China: Oversupply Puts Rare Earths Projects On Hold", Industrial Minerals, August, 1997, 1 page.
	C6	"China's Rare Earth Export Quota Set at 45,000 Tons", Dow Jones Interactive Internet Printout on 6/20/01 for web address "http://ptg.djnr.com/ccroot/asp/publib/story.asp"; Asia Pulse, 1/9/01, 1 page.
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	C9	Coutures et al., "PRODUCTION AND STUDIES OF ALUMINA BASED REFRACTORY GLASS," <u>Mat. Res. Bull.</u> , Vol. 10, No. 6, 1975, pp 539-546.
	C10	Dialog © file 319: Chem Bus NewsBase © 2001 Royal Soc Chemistry. Abstract for "China: Oversupply Puts Rare Earths Projects On Hold", Industrial Minerals n 359, p. 10.
	C11	"ELEMENTS: China to Impose Quotas on Rare Earth Exports", Dow Jones Interactive Internet Printout on 6/20/01 for web address "http://ptg.djnr.com/ccroot/asp/publib/story.asp"; Chemical Business NewsBase, 2/4/99, 1 page.
	C12	Figs. 311, 346, 350, 354-56, 373, and 716, <u>Phase Diagrams For Ceramists</u> , The American Ceramic Society, 1964, pp. 122, 136, 138, 140, 144, 248.
	C13	Figs. 2340-44, 2363, 2370, 2374-75, 2382-83, 2385, 2387, 2390, and 2392, <u>Phase Diagrams For Ceramists, 1969 Supplement</u> , The American Ceramic Society, 1969, pp. 95-6, 100, 102-03, 105-08.
	C14	Figs. 4366-71, 4377-78, 4404-05, 4417, 4426, 4430, 4433, 4437, 4440, 4444, 4457, 4572, and 4602, <u>Phase Diagrams For Ceramists, 1975 Supplement</u> , The American Ceramic Society, 1975, pp. 130-32, 135-36, 147, 152, 157, 159-60, 163-64, 166, 172-73, 238, 257.
	C15	Figs. 5042, 5211, 5217, 5224, 5228, 5232, 5237, 5239, 5241, 5245, 5251, 5257, 5418, and 5437, <u>Phase Diagrams For Ceramists, Vol. IV</u> , The American Ceramic Society, 1981, pp. 29, 125, 127, 129-31, 133, 135-37, 139, 141, 143, 220, 228.
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	C19	Hedrick, J. , "Rare-Earth Metals", pp. 61.1-61.6, 1997.
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	C23	"In Asia", Dow Jones Interactive Internet Printout on 6/20/01 for web address " http://ptg.djnr.com/ccroot/asp/publib/story.asp "; <u>Engineering & Mining Journal</u> , 2/28/00, 4 pages.
	C24	Isobe, T. et al., "Microstructure and Thermal Stability of $\text{Al}_2\text{O}_3\text{/Y}_3\text{Al}_5\text{O}_{12}$ (YAG) Eutectic Composite Prepared by an Arc Discharge Method", <u>J. Ceram. Soc. Jap.</u> , 109, [1], 2001, pp. 66-70, Abstract in English.
	C25	Kingery, W.D., <u>INTRODUCTION TO CERAMICS</u> , Second Edition, Chpt. III subchapter 8.8, <u>Glass-Ceramic Materials</u> , pp. 368-374, (1976).
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	C27	Kondrashov V I et al., "Opacified Glass "Decorit" Synthesis Directions", <u>Steklo I Keramika</u> 2001, No. 1, pages 8-11. Title translated as "Aspects of Synthesis of Decorite Opacified Glass".
	C28	Krell, Andreas et al., "Advances in the Grinding Efficiency of Sintered Alumina Abrasives," <u>Journal of the American Ceramic Society</u> , 1996, Vol. 79, No. 3, pp. 763-769
	C29	Krokhin et al., "Synthesis of Y-Al Garnet", <u>Glass and Ceramics</u> , Vol. 55, Nos. 5-6, 1998, pp. 151-152.
	C30	Lakiza et al., "The Liquidus Surface In The $\text{Al}_2\text{O}_3\text{-ZrO}_2\text{-Y}_2\text{O}_3$ Phase Diagram", <u>Powder Metallurgy and Metal Ceramics</u> , Vol. 33, No. 11-12, 1994, pp. 595-597.
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	C40	"Rare Earths: An Industry Review and Market Outlook – Part 1", Dow Jones Interactive Internet Printout on 6/20/01 for web address "http://ptg.djnr.com/ccroot/asp/publib/story.asp"; Chemical Business NewsBase, 12/8/00, 2 pages.
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	C42	"Rare Earth Prices and Market Outlook", Dow Jones Interactive Internet Printout on 6/20/01 for web address "http://ptg.djnr.com/ccroot/asp/publib/story.asp"; Chemical Business NewsBase, 5/27/99, 2 pages.
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	C69	U.S. Patent Application entitled "Fused Al ₂ O ₃ -Y ₂ O ₃ -ZrO ₂ Eutectic Abrasive Particles, Abrasive Articles, And Methods Of Making And Using The Same", filed July 19, 2000, Rosenflanz having U.S. Serial No. 09/618,876 (Attorney Docket No. 55763US002).
	C70	U.S. Patent Application entitled, "Method of Making Ceramic Articles", filed August 2, 2002, Rosenflanz having U.S. Serial No. 10/211,481 (Attorney Docket No. 56938US004).
	C71	U.S. Patent Application entitled "Methods of Making Ceramic Particles," filed February 5, 2003, Rosenflanz, having a U.S. Serial No. 10/358772 (Attorney Docket No. 58257US002)
	C72	U.S. Patent Application entitled "Methods of Making Ceramics", filed February 5, 2003, Anderson et al., having a U.S. Serial No. 10/358765 (Attorney Docket No. 58258US002)
	C73	U.S. Patent Application entitled "Ceramics and Methods of Making the Same", filed February 5, 2003, Celikkaya et al., having a U.S. Serial No. 10/358910 (Attorney Docket No. 58325US002)
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	C75	U.S. Application entitled "Use of Ceramics In Dental And Orthodontic Applications", filed February 5, 2003, having U.S. Serial No. 10/358,856 (Attorney Docket No. 58350US002)
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	C77	U.S. Application entitled "Use of Glasses Containing Rare Earth Oxide, Alumina, and Zirconia And Dopant In Optical Waveguides", filed April 28, 2003, having U.S. Serial No. 10/425,039 (Attorney Docket No. 58435US002)
	C78	U.S. Application entitled " Methods of Making Ceramic Particles", filed September 5, 2003, having U.S. Serial No. 10/655729 (Attorney Docket No. 58790US002)
	C79	U.S. Application entitled "Methods of Making Ceramics Comprising Al ₂ O ₃ , REO, ZrO ₂ and/or HfO ₂ and Nb ₂ O ₅ and/or Ta ₂ O ₅ ", filed September 18, 2003, having U.S. Serial No. 10/666615 (Attorney Docket No. 58354US002)
	C80	U.S. Application entitled "Ceramics Comprising Al ₂ O ₃ , REO, ZrO ₂ and/or HfO ₂ , and Nb ₂ O ₅ and/or Ta ₂ O ₅ , and Methods of Making The Same", filed September 18, 2003, having U.S. Serial No. 10/666212 (Attorney Docket No. 58807US002)
	C81	U.S. Application entitled "Agglomerate Abrasive Grain and a Method of Making the Same", filed February 11, 2004, having U.S. Serial No. 10/776156 (Attorney Docket No. 55304US016)

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